



112 2812

PATENT APPLICATION

Docket No: 14321.71

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of)
)
Kazuhide Kumakura et al.)
)
Serial No.: 10/532,782) Art Unit
) 2812
Filing Date: April 25, 2005)
)
Confirmation No.: 6664)
)
For: SUBSTRATE FOR NITRIDE SEMICONDUCTOR)
GROWTH)

CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8

I hereby certify that the following documents are being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450, on the 5th day of December 2005.

- Transmittal for Information Disclosure Statement (3 pages)
- Information Disclosure Statement (3 pages)
- Form PTO-1449 listing 8 references (2 pages)
- A copy of each of the references listed on the Form PTO-1449
- Postcard

Respectfully submitted,

DANA L. TANGREN
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A circular stamp from the Office of Intellectual Property (OIPE). The text "OIPE" is at the top and "LAP87" is at the bottom. The date "DEC 08 2005" is in the center. The words "PATENT & TRADEMARK OFFICE" are written along the bottom inner edge of the circle.

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In re application of

Kazuhide Kumakura et al.

Serial No.: 10/532,782

Filing Date: April 25, 2005

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For: SUBSTRATE FOR NITRIDE
SEMICONDUCTOR GROWTH

TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement, which includes the following statements, if any, required variously by 37 C.F.R. § 1.98:

X Statement of relevance of selected cited references not in the English language which are not translated.

— Statement that selected cited references are substantially cumulative of an enclosed or previously submitted reference.

Statement that selected cited references were previously cited by or submitted to the United States Patent and Trademark Office in a prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

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A. Additional Materials Required Due to Content of Information Disclosure Statement

Transmitted are the following documents in addition to the Information Disclosure Statement as required variously under 37 C.F.R. § 1.98:

- ☒ Form PTO-1449 listing 8 reference submitted for consideration.
- ☒ A copy of the non-US references listed on the Form PTO-1449.
- ☐ English translations of ___ (___) of the references listed on the Form PTO-1449 which are not in the English language.
- ☐ Copies of the following documents from the prosecution of a previous, related application:
 - ☐ Form PTO-1449 AND INFORMATION DISCLOSURE STATEMENT; and
 - ☐ Form PTO-892

B. Additional Materials Required Due to Timing of Filing of Information Disclosure Statement

The transmitted Information Disclosure Statement is being filed within one (1) of the following four (4) time periods:

- I. ☒ Prior to the later of either three (3) months following the filing date or the mailing of a first Office Action. Accordingly, no materials other than those listed above are enclosed.
- II. ☐ Following the latter of either three (3) months following the filing date or the mailing of a first Office Action, but before the mailing of a final Office Action or a Notice of Allowance. Accordingly, to secure consideration thereof, one (1) of the following is also enclosed:
 - ☐ Promptness Certification; or
 - ☐ Check No. _____ in the amount of ___ constituting the submission fee set forth in 37 C.F.R. § 1.17(p).
- III. ☐ After the mailing of a Notice of Allowance, but before payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:
 - ☐ Promptness Certificate;
 - ☐ Petition for Consideration; and

- Check No. in the amount of ___ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).
- IV. — After payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:
- Petition to Withdraw from Issue; and
- Check No. ___ in the amount of ___ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

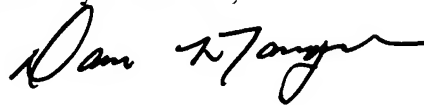
C. Fees

The Commissioner is hereby authorized to charge payment of or any deficiency in the following fees associated with this communication, or to credit any overpayment thereof, to Deposit Account No. 23-3178. A duplicate copy of this letter is enclosed.

- X Any fee required in relation to filing of this letter or any documents transmitted therewith.
- The submission fee set forth in 37 C.F.R. § 1.17(p) in the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that any Promptness Certificate submitted meets the requirements of 37 C.F.R. § 1.97(e).
- The submission fee set forth in 37 C.F.R. § 1.17(p).
- The petition fee set forth in 37 C.F.R. § 1.17(i)(1).

Dated this 5th day of December 2005.

Respectfully submitted,



DANA L. TANGREN
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Registration No. 37,246
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Applicant:

Kazuhide Kumakura et al.

Confirmation No.: 6664

Serial:

10/532,782

Att'y Docket No.: 14321.71

Filing Date:

April 25, 2005

Art Unit: 2812

For:

SUBSTRATE FOR NITRIDE SEMICONDUCTOR GROWTH

DEC 08 2005

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

Examiner Initial*	Document Number	Issue Date	Name
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Foreign Patent Documents

Examiner Initial*	Document Number	Publication Date	Country or Patent Office	Translation
___ 1	02-141495	05/30/1990	Japan	No
___ 2	11-060395	03/02/1999	Japan	No
___ 3	11-340147	12/10/1999	Japan	No
___ 4	WO 02/12598 A1	02/14/2002	PCT	N/A

Other Documents

(including author, title, pertinent pages, etc.)

Examiner
Initial*

- ___ 5 Hyun-Jeong Kim et al., *Effects of Reactive Ion Beam Treatment of a Sapphire Surface to Optimize the Deposition of GaN Films*, Journal of Applied Physics, Vol. 87, No. 11, June 1, 2000, pp. 7940-7945.
- ___ 6 Cyril Pernot et al., *Low-Intensity Ultraviolet Photodetectors Based on AlGaN*, Japanese Journal Applied Physics, Vol. 38, 1999, pp. L487-L489.
- ___ 7 H. Amano et al., *Metalorganic Vapor Phase Epitaxial Growth of a High Quality GaN Film Using an AlN Buffer Layer*, Applied Physics Letters, Vol. 48, No. 5, February 3, 1986, pp. 353-355.
- ___ 8 Shuji Nakamura, *GaN Growth Using GaN Buffer Layer*, Japanese Journal of Applied Physics, Vol. 30, No. 10A, October 1991, pp. L1705-L1707.

Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449

Sheet 2 of 2

Applicant: Kazuhide Kumakura et al.

Confirmation No.: 6664

Serial No.: 10/532,782

Att'y Docket No.: 14321.71

Filing Date: April 25, 2005

Art Unit: 2812

For: SUBSTRATE FOR NITRIDE SEMICONDUCTOR GROWTH

References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
